

RECEIVED  
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☐ The original *Employee Pre-Travel Authorization* (Form RE-1), AND  
☐ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invite list, etc.)

The Aspen Institute, Inc. (Congressional Program)

Private Sponsor(s) (list all):

Travel date(s): October 9-October 12, 2017

Name of accompanying family member (if any):

Relationship to Traveler: ☐ Spouse ☐ Child

**Expenses for Employee:**

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount	\$1,550	\$537	\$210	\$137 meeting room expenses

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount				

**See attached agenda**

10/24/17  
(Date)


JAMES G. MAZOL  
(Printed name of traveler)

(Signature of traveler)

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

10/25/2017  
(Date)

ve in connections with travel described in the *Employee Pre-Travel*  
, and related expenses as defined in Rule 35.

  
(Signature of Supervising Senator/Officer)

Form RE-2

[illegible]

Date/Time Stamp:

## EMPLOYEE PRE-TRAVEL AUTHORIZATION

ETHIC SEP 5'17PM 1:38

**Pre-Travel Filing Instructions:** Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics in SH-220**. Incomplete and late travel submissions will not be considered or approved. This form must be typed and is available as a fillable PDF on the Committee's website at [ethics.senate.gov](http://ethics.senate.gov). Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

James Gregory Mazol

Name of Traveler: \_\_\_\_\_

Senator Roger F. Wicker

Employing Office/Committee: \_\_\_\_\_

Private Sponsor(s) (list all): The Aspen Institute, Inc.

Travel date(s): October 9- October 13, 2017

*Note: If you plan to extend the trip for any reason you must notify the Committee.*

Destination(s): Warsaw, Poland

Explain how this trip is specifically connected to the traveler's official or representational duties:

As Senator Wicker's National Security Advisor, James Mazol is responsible for providing research and analytical support and recommendations to the Senator on European security issues including Poland, Russia, and NATO. The trip agenda will provide James Mazol with a better understanding of these issues through its series of meetings with experts. Senator Wicker is a senior member of the Armed Services Committee and Chairman of the U.S. Congressional Delegation to the Helsinki Commission. Therefore, he is heavily engaged on the issues which the trip will cover.

Name of accompanying family member (if any): N/A

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

9/5/2017  
(Date)

(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Roger F. Wicker hereby authorize James G. Mazol  
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

9-5-17  
(Date)

(Signature of Supervising Senator/Officer)



June 15, 2017

Dan Glickman

Executive Director

Congressional Program

James Mazol  
National Security Advisor  
Sen. Roger Wicker  
US Senate  
Washington, DC 20510

Dear James:

I would like to invite you to participate in a conference designed exclusively for the educational benefit of a bipartisan, bicameral group of senior congressional staff focusing on *European Security and Russian Assertiveness: Challenges for U.S. Policy* in Warsaw, Poland October 9-13, 2017 (including travel to and from Washington).

We have assembled a group of outstanding scholars from Warsaw, Berlin, Moscow, Kyiv, Riga, Brussels and Sofia to enhance the discussions. Matt Rojansky, Director of the Kennan Institute at the Wilson Center, will participate as well.

Attendance is by invitation only, with no outside observers, press, or lobbyists. Funding for this project is provided by grants from the Henry Luce Foundation, the Democracy Fund, the MacArthur Foundation and Rockefeller Brothers Fund —no government, individual, foreign, corporate or special interest funds are accepted. We will provide you with a signed Private Sponsor Travel Certification Form affirming that no lobbyists fund this activity, that the Aspen Institute does not hire or retain lobbyists, and that no lobbyists will be present. Our purpose is education, not advocacy.

Departure will be on Monday, October 9<sup>th</sup> and we will return to the U.S. on Friday, October 13<sup>th</sup>. Should you accept the invitation, it is required that you participate throughout the duration of the conference. Your expenses, including airfare, lodging and meals, will be paid by the Aspen Institute Congressional Program. Under the ethics rules, no expenses are covered for entertainment or recreation.

Additionally, we have luncheon meetings throughout the year for congressional staff with speakers on public policy challenges. We hope you will be able to participate in the extended educational offerings of this series. If you have any questions, please feel free to call Melissa Neal at 202-736-3858. I hope you will be able to join us for this important conference.

Sincerely,

Dan Glickman

One Dupont Circle, NW

Suite 700

Washington, DC 20036-1133

PH 202.736.5825

FX 202.785-2737

[www.aspeninstitute.org](http://www.aspeninstitute.org)



This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors):  
The Aspen Institute, Inc. (Congressional Program)
2. Description of the trip: An extensive analysis of European security concerns and Russian assertiveness and the impact on U.S. foreign policy.
3. Dates of travel: Oct. 9, 2017 - Oct. 12, 2017
4. Place of travel: Warsaw, Poland
5. Name and title of Senate invitees: see attached list
6. I certify that the trip fits one of the following categories:  
☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.  
- OR -  
☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I certify that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.  
- AND -  
☒ I certify that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I certify that:  
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.  
- AND -  
☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).



15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

In addition to the conferences, AICP annually offers 25 breakfasts for members of Congress, 5 lunches for congressional staff members--each event offering a leading scholar on a key national or international issue. One congressional staff conference per year is offered on a key foreign or domestic issue.

**16. Total Expenses for Each Participant:**

	Transportation Expenses	Housing Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate  <input type="checkbox"/> Actual Amounts	\$2,000	\$537	\$210	\$137 meeting room expenses

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The conference is organized specifically with regard to congressional participation.

18. Reason for selecting the location of the event or trip

Warsaw, Poland provides a central meeting point for international scholars including Russians & experts from the region to provide analysis of European security issues, Russia's role, & impact on US policy.

19. Name and location of hotel or other lodging facility:

**Hotel Bristol, Warsaw, Poland**

20. Reason(s) for selecting hotel or other lodging facility:

The hotel offers conference services required including technology and meeting space. Facility security was a key factor including private meeting space and dining rooms.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Lodging and meals are both under the published per diem for the time period.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Coach class flights on commercial airline carrier

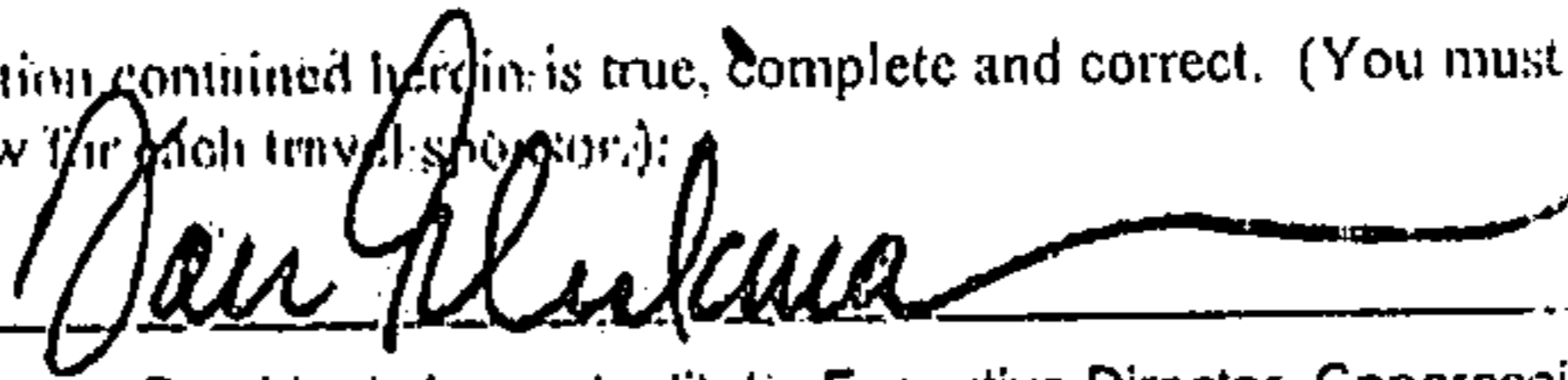
23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

None

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor):

Signature of Travel Sponsor:



Name and Title: Dan Glickman, Vice President, Aspen Institute; Executive Director, Congressional Program

Name of Organization: The Aspen Institute, Inc. (Congressional Program)

Address: 1 Dupont Circle, NW, Washington, DC 20036

Telephone Number: 202-736-5859 (Lisa Jones)

Fax Number: NA

E-mail Address: lisa.jones@aspeninst.org



**Appendix to Senate Private Sponsor Travel Certification Form**

**Aspen Institute Congressional Program – European Security and Russian Assertiveness – Oct. 9-13, 2017**

Question 1. Sponsor(s) of the trip (please list all sponsors) – The Aspen Institute, Inc. (Congressional Program)

Aspen Institute is the sole sponsor of this European Security and Assertiveness of Russia conference. The organization has received general support and unrestricted funds from The Henry Luce Foundation, Democracy Fund foundation, Rockefeller Brothers Fund foundation, the John D. and Catherine T. MacArthur Foundation. These foundation funds were not earmarked for a specific trip.

Question 14. On occasion, other policy and public programs of the Aspen Institute sponsor trips that involve members of Congress or congressional staff.

Question 15. The Aspen Institute holds numerous educational activities, including conferences, roundtables, briefings and other nonpartisan forums on critical issues facing the U.S. and the world.

Question 16.

Daily breakdown of meeting room expenses for the per person total of \$137:

Oct. 10 - \$45.67

Oct. 11 - \$45.67

Oct. 12 - \$45.67

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# EUROPEAN SECURITY & RUSSIAN ASSERTIVENESS: CHALLENGES FOR U.S. POLICY

THE ASPEN INSTITUTE CONGRESSIONAL PROGRAM  
CONGRESSIONAL STAFF CONFERENCE  
October 9-13, Warsaw, Poland

## **MONDAY, October 9:**

James Mazol and Congressional staff participants depart Washington, DC at 6:10 pm on Air France 55.

## **TUESDAY, October 10:**

Congressional staff participants arrive in Warsaw at 11:55 am on Air France #1146.

1:30-2:30 pm

Luncheon remarks

### **INTRODUCTION AND FRAMEWORK OF THE CONFERENCE**

*Dan Glickman, Executive Director, Aspen Institute Congressional Program*

Dan Glickman will introduce the scholars for the "European Security & Russian Assertiveness: Challenges for U.S. Policy" conference and briefly outline their expertise. The conference was designed to incorporate scholarship from the entire region, including Poland, Germany, Russia, Latvia, Italy and Hungary. Glickman will highlight how the conference will be conducted, how those with questions will be recognized and how responses will be timed to allow for as many questions and answers as possible. This format is especially important to guarantee full participation with so many knowledgeable and experienced people around the table, not only the speakers on each panel.

3:00-5:00 pm

Walking Educational Site Visit

### **WARSAW'S HISTORICAL CONTEXT:**

### **WWII'S IMPACT AND RELEVANCE FOR U.S. POLICY**

Slawomir Debski, Director of the Polish Institute of International Affairs in Warsaw, will lead an educational visit to Warsaw's historic 13<sup>th</sup> Century Old Town, with an accompanying briefing on historical issues. This presentation will describe the security environment that contributes significantly to the political framework in Poland. During the Invasion of Poland (1939), much of the district was badly damaged by the German Luftwaffe, which targeted the city's residential areas and historic landmarks in a campaign of terror bombing. Following the Siege of Warsaw, parts of the Old Town were rebuilt, but immediately after the Warsaw Uprising (August–October 1944) what had been left standing was systematically blown up by the German Army. After World War II, the Old Town was meticulously rebuilt. Warsaw hosted the 2016 NATO summit, which was the main forum for NATO governments to determine their ongoing response to Russian aggression in Ukraine, and potential





- Is Russia a state in decline or a rising global power? What are Russia's aspirations regarding its role in the world?
- What is the explanation for Vladimir Putin's continuing high popularity? Is it appropriate to think in terms of the longevity of the "Putin system"?

**Kirill Rogov**, Senior Researcher, Liberal Mission Foundation, Moscow  
**Gwendolyn Sasse**, Director, Center for East European and International Studies, Berlin

Noon-2:00 pm

Luncheon Remarks

### **CAN RUSSIA EVER BE A DEMOCRACY?**

**Ivan Krastev**, Chair, Center for Liberal Studies, Sofia

Ivan Krastev has written extensively on Russian domestic politics as well as Russian-European-U.S. relations. He will address the central question of whether a positive change in Russia's domestic politics is possible or likely, and what if any role the U.S.-Russia relationship plays in that. He will also offer his own perspective on Russian decision-making, and assess whether and how the kinds of incentives and punishments imposed by Western governments are likely to influence Russian policy.

2:00-5:00 pm

### **EDUCATIONAL SITE VISIT TO THE POLIN MUSEUM**

Dariusz Stola, Director of the Museum of the History of Polish Jews (POLIN), which just opened two years ago, will lead us on an educational visit to this narrative museum with an accompanying presentation on the 1,000-year history of Polish Jews. The museum is the first public-private partnership in Poland, created jointly by the government, the local government, and a non-governmental organization, and its mission is to recall and preserve the memory of the history of Polish Jews and to contribute to the mutual understanding and respect amongst Poles and Jews as well as other societies of Europe and the world. Before the outbreak of World War II, more than 3.3 million Jews lived in Poland, the largest Jewish population of Europe and second largest Jewish community in the world. After the German invasion of Poland in September 1939, ghettos were established in Warsaw, Lodz, Lublin, Radom and Lvov. By 1942, all Polish Jews were either confined to ghettos or hiding; more than half a million lived in Warsaw's ghetto. Barely 11 percent of Poland's Jews - 369,000 - survived the war. The POLIN Museum is part of a Jewish revival that has occurred since the fall of communism in Poland. The POLIN museum is the single most important museum related to the experience of Jews in Europe over the last century. This briefing will help Senate staff understand how the Jewish experience has shaped public perceptions in Europe, especially among Americans with family ties to the region. That continues to be true, especially today, when the experience of religious minorities (Jews, Muslims, Roma, and others) is a major factor in U.S. policies towards Russia, Poland, and other regional states.

7:00-9:00 pm

**Working Dinner**

Scholars and Congressional staff will explore topics covered in the conference. Seating is arranged to expose participants to a diverse range of views and provide opportunity for a meaningful exchange of ideas. Scholars and congressional staff are rotated daily. Scholars will discuss their perspective on European security and Russian assertiveness and the challenges for U.S. policy.

**THURSDAY, October 12:**

6 am

James Mazol departs Warsaw at 6 am on KLM 1362 and arrives in Washington, DC at 3:35 pm on KLM 651

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